

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/940,509	08/27/2001	Doug Dunning	40655.5800

CONFIRMATION NO. 7398

20322
SNELL & WILMER
ONE ARIZONA CENTER
400 EAST VAN BUREN
PHOENIX, AZ 850040001

FORMALITIES LETTER



OC000000006831357

Date Mailed: 10/02/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

D. Woolyton

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/13/2001 AGOITDH 00000092 09940509

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IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE

PATENT

Inventor(s): Dunning, et al. Docket No.: 40655.5800
Serial No.: 09/940,509 Group Art No.: 2161
Filing Date: August 27, 2001 Examiner: To Be Assigned
Title: SYSTEM AND METHOD FOR CREATING
AND ADMINISTERING AN INVESTMENT
INSTRUMENT

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL
APPLICATION
FILING DATE GRANTED**

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Dear Sir:

This response to the Notice to File Missing Parts of NonProvisional Application -
Filing Date Granted mailed on October 2, 2001.

Enclosed herewith for filing are the following:

A copy of the Notice to File Missing Parts of NonProvisional Application -
Filing Date Granted. **(REQUIRED)**; and

Declaration

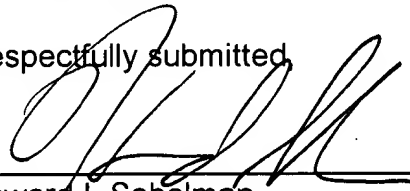
Surcharge for late filed Declaration	\$130.00
Total completion of application fees	\$130.00
Total fees due	\$130.00

The fee of \$130.00 is to be paid as follows:

- X A check in the amount of the fee is enclosed.
- X The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **19-2814**
A duplicate copy of this sheet is enclosed.

- X If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **19-2814**
A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Dated: December 3, 2001

Howard I. Sobelman
Reg. No. 39,038

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